

## Appendix F



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**Message center****Client services - Taxes**

From: Message Center Client Services  
 To: scott545303  
 Date: 5:48pm ET 3/22/2023

Dear Scott,

Thank you for choosing TD Ameritrade, my name is Grant Wells and it's my pleasure to assist you with this!

I read through some of your previous messages to us and to answer one of your questions, yes we keep call recordings, however to my knowledge we can't provide them directly to clients. We can however request a manager to go through the recording in order to establish what was said. Furthermore, it could even be possible for you to listen to the call with the manager together but I do not know that for a fact.

If you request to speak with a manager, we could put you in touch with one and they can look into a call recording if you have any complaints/concerns of what information was given in a conversation with us.

In regards to us deleting messages you send to us, I don't believe we can do that as we are required to save written correspondence with clients due to industry regulations. It could also be the case that you're in the "Inbox" section of the message center and not the "Sent" section. I've actually had this same problem with finding previous messages I have sent to TDA before, so if this is the case it's not just you!

If you are in the Sent section of the message center and still don't see any previous messages you've sent us, that sound like it would be more of a technical issue, which you can call us at 1-800-669-3900 and try to walk you through troubleshooting steps live. Additionally we can try to help you through this message center but for tech issues, phone calls are generally.

If you ever have any questions, please feel free to reach out to us! We thank you for your continued business with us as we strive to help you accomplish your financial goals!

Best Regards,

Grant Wells  
 Client Services  
 TD Ameritrade  
 1-800-669-3900

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## Re: Client services - Taxes

From: Message Center Client Services  
To: scott545303

Compose message

Grant:

Yes, I'd like to listen to the audio at some time, I will call about trying to find my sent messages.

Can you guys provide a transcript of the call? Are you able to do that?

Thanks,

Scott

⌵ Attach file